
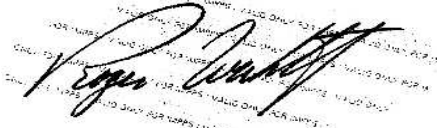



## KANSAS DEPARTMENT OF CORRECTIONS

	<b>INTERNAL MANAGEMENT  POLICY AND  PROCEDURE</b>	<b>SECTION NUMBER</b>  <b>05-106</b>	<b>PAGE NUMBER</b>  <b>1 of 3</b>						
		<b>SUBJECT:</b>  <b>INFORMATION TECHNOLOGY AND RECORDS: Electronic Records Management and Preservation</b>							
<b>Approved By:</b>  <b>Secretary of Corrections</b>		<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"><b>Original Date Issued:</b></td> <td style="text-align: right;"><b>N/A</b></td> </tr> <tr> <td><b>Current Amendment Effective:</b></td> <td style="text-align: right;"><b>06-21-04</b></td> </tr> <tr> <td><b>Replaces Amendment Issued:</b></td> <td style="text-align: right;"><b>N/A</b></td> </tr> </table>		<b>Original Date Issued:</b>	<b>N/A</b>	<b>Current Amendment Effective:</b>	<b>06-21-04</b>	<b>Replaces Amendment Issued:</b>	<b>N/A</b>
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<b>Current Amendment Effective:</b>	<b>06-21-04</b>								
<b>Replaces Amendment Issued:</b>	<b>N/A</b>								
<b>Reissued By:</b>  <b>Policy &amp; Procedure Coordinator</b>		<p>The substantive content of this IMPP has been reissued as per the appropriate provisions of IMPP 01-101. The only modifications within the reissue of this document concern technical revisions of a non substantive nature.</p> <p><b>Date Reissued:</b> <span style="float: right;"><b>07-15-11</b></span></p>							

### POLICY

The Department of Corrections shall maintain accountability and preserve important historical records in an electronic environment. All facilities and offices will take the appropriate measures to:

- ❖ Maintain ongoing accessibility of records throughout their period of retention
- ❖ Apply retention schedules to electronic records
- ❖ Manage access to department records in a manner that ensures public access rights protecting staff and offender confidentiality
- ❖ Address record keeping considerations in the system planning and development stages
- ❖ Ensure the reliability and authenticity of records throughout their retention period.

### DEFINITIONS

Government Record (KSA 45-402(d)): "Government record means all volumes, documents, reports, maps, drawings, charts, indexes, plans memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material, regardless of physical form or characteristics, storage media or condition of use, made or received by an agency in pursuance of law or in connection with the transaction of official business or bearing on the official activities and functions of any governmental agency. Published material acquired and preserved solely for reference purposes, and stocks of publications, blank forms and duplicated documents are not included within the definition of government records."

### PROCEDURES

#### **I. Information Management Policies**

- A. All offices and facilities shall maintain ongoing accessibility of records throughout their period of retention.
- B. All records sections shall take measures to ensure that records are being maintained in accordance with the appropriate retention schedules.
- C. All electronic records shall be handled in accordance with policies defined in IMPP 05-101, 05-102, 05-103, 05-104, 05-105, 05-106, 05-107, 05-108 to ensure confidentiality and protection of privacy.

## **II. Responsibilities**

### **A. System Management Team:**

1. Shall address record keeping considerations in the planning and development phases of systems.
2. Shall include the below information on the bottom of all forms produced by any office in the Department:
  - a. Form Number
  - b. Electronic Records code (if applicable)
  - c. Retention instructions.
3. Shall institute measures to ensure the reliability and authenticity of records under its control during the retention period.

### **B. Records System Manager:**

1. Serves as the Records Custodian for the Department of Corrections.
2. Maintain and update the department's record retention schedule.
3. Ensure that all new systems adhere to open standards for hardware, file formats and software.
4. Shall review existing and new policies and procedures to ensure that forms developed for Department of Corrections use include the following:
  - a. Form Number
  - b. Electronic Records code
  - c. Retention instructions.
5. Shall maintain the department's electronic records indexes, metadata and guidelines.
6. Develop, implement and maintain electronic records access permissions.
7. Develop and monitor policies on the retention of electronic mail, internet/ intranet logs and other access control records.

### **C. Manager, Operations Center:**

1. Apply measures to refresh physical storage media to guard against media degradation.
2. Store the supporting application software and operating system with the archived media.

3. Maintain Daily Backup logs for all records systems.
4. Restrict "write" permissions on archived files and records.

**NOTE:** The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

### **REPORTS REQUIRED**

Daily Backup Logs

### **REFERENCES**

Government Records Preservation Act (KSA 45-401-KSA 45-413)  
Kansas Acts Against Discrimination (KSA 44-1001 et seq)  
Open Records Act (KSA 45-215-45-223)  
Public Records Act (KSA 75-350-KSA 75-3518)  
Records made on Electronically-accessed Media; Authorization, Conditions and Procedures, Application, Notice to State Records Board (KSA 45-501)  
Tampering with a Public Record (KSA 21-3821)  
Telecommunications services of certain State agencies; extension to certain private, nonprofit agencies or governmental entities; records of services (KSA 75-4709).  
General Records Retention and Disposition Schedule for State Agencies (KAR 53-3-1)  
Records Officer (KAR 53-4-1)  
Development of a Data Administration Program (ITEC Policy 8000)  
Kansas State-wide Technical Architecture, Chapter 20  
Kansas Electronic Record keeping Strategy: A White Paper (<http://www.kshs.org/archives/ermwhite.htm>)  
Kansas Electronic Records Management Guidelines (<http://www.kshs.org/archives/ermguide.htm>)  
Kansas State Records Management Manual (<http://www.kshs.org/archives/tablemst.htm>)

### **ATTACHMENTS**

None